



INDIANA ARTS COMMISSION

Connecting people to the arts

# Organizational Assessment for Arts Organizations

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Dec. 2000

IAC  
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Building  
Resource

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## **TABLE OF CONTENTS**

<b>What is Stabilization? .....</b>	<b>Page 1</b>
<b>Benchmarks of Organization Health .....</b>	<b>Page 2</b>
<b>How to Use the Guide.....</b>	<b>Page 3</b>
<b>The Capacity Building Plan .....</b>	<b>Page 4</b>
<b>SECTION 1: General Information .....</b>	<b>Page 6</b>
<b>SECTION 2: Mission, Markets, and Environment .....</b>	<b>Page 8</b>
<b>SECTION 3: Executive Staff.....</b>	<b>Page 10</b>
<b>SECTION 4: Other Employees .....</b>	<b>Page 12</b>
<b>SECTION 5: Governing Board.....</b>	<b>Page 14</b>
<b>SECTION 6: Governing Board Committees .....</b>	<b>Page 16</b>
<b>SECTION 7: Long Range Planning .....</b>	<b>Page 18</b>
<b>SECTION 8: Programs and Services .....</b>	<b>Page 20</b>
<b>SECTION 9: Public Relations .....</b>	<b>Page 24</b>
<b>SECTION 10: Human Resources.....</b>	<b>Page 30</b>
<b>SECTION 11: Agency Budget .....</b>	<b>Page 34</b>
<b>SECTION 12: Financial Management .....</b>	<b>Page 36</b>
<b>SECTION 13: Fund Raising .....</b>	<b>Page 38</b>
<b>SECTION 14: Facilities .....</b>	<b>Page 42</b>
<b>SECTION 15: Accessibility .....</b>	<b>Page 44</b>
<b>SECTION 16: Risk Management .....</b>	<b>Page 46</b>

## **WHAT IS STABILIZATION?**

*“Stabilization is a long term process that holistically addresses the needs of an organization. Stabilization improves an organization’s ability to thrive in today’s changing climate by enhancing its adaptability and financial strength.”*

*“Stabilization encourages independent thinking instead of providing prescriptive answers.”*

*“The desired outcome [of stabilization] is for an organization to emerge with the managerial and financial capacity to accommodate artistic risk and implement major institutional change.”*

**Nancy R. Sasser**

*President, National Arts Stabilization*

Stabilization had its origins in attempts to eliminate financial crisis through deficit relief and endowment giving. However, these efforts were narrowly focused, crisis driven, and addressed only specific aspects of management. Over time, similar problems re-surfaced, causing experts to re-evaluate their approach.

Consequently, in recent years, stabilization has widened its focus to look at organizational issues holistically — linking financial well being to the ability to achieve organizational change. As a result of participating in a stabilization process, an organization will develop the ability to assess its strengths, weaknesses, environmental challenges and opportunities and will be able to utilize this knowledge to adjust its plans to more effectively advance its mission.

Participants in stabilization efforts develop a better understanding of their organization’s resources, capabilities, preferences, and environment. They become more comfortable with change and more secure in their ability to anticipate and respond to the environmental challenges and opportunities.

### ***The Stabilization Process***

The stabilization process begins with a team-based strategic assessment of an organization’s health. The team usually includes a group of key managers and board members, led by an outside consultant. The assessment focuses on benchmarks in areas such as governance, planning practices, human resources, program, communications, facilities, financial profile, and revenue generation.

When the assessment is complete, the board, staff, consultant, and key stakeholders agree on a plan of action to address the critical issues identified in the assessment. Financial support for stabilization efforts generally spans multiple years and includes grants for the assessment, plan development, and plan implementation linked to the achievement of key managerial and financial benchmarks.

## **BENCHMARKS OF ORGANIZATIONAL HEALTH**

**Clarity of mission** — Is the entity able to articulate a clear, concise mission that is understood by all key constituencies? Does the organization remain focused on its mission even when key constituencies change their focus?

**Relevance of program to the community** — Does the organization fill an important artistic niche and regularly assess its ability to fill that niche?

**Governance structure, procedures, and leadership** — Is the board an active partner with management? Do both management and board understand their roles? Have they developed a structure that serves the organization? Do they work effectively to support each other?

**Understanding of the external environment, competition, and market forces** — Does the organization understand the key environmental forces affecting its market? Is the organization able to define and regularly monitor its buyers (audience and donors), suppliers, competitors, substitutes, and potential new entrants? Has the organization identified its competitive advantage and developed an effective strategy to address its market forces?

**Revenue generation, both earned and contributed** — Does the organization have a broad base of sustainable support? Are relationships with donors and ticket buyers strengthened and broadened over time? Is the organization able to generate revenue in a cost-effective manner? Is the organization able to communicate effectively with its constituents?

**Financial procedures** — Does the organization demonstrate operational sustainability, budgeting acumen, and cash flow management expertise both as a borrower and an investor?

**Strength of financial profile** — Does the organization understand what its proper level of capitalization is, and has it developed a plan to work toward that capitalization?

**Planning practices, realistic strategy, and measurable goals** — Does the organization plan regularly, set realistic goals and achieve them? Does the organization address the natural tension between desired programming and financial constraints?

**Facilities** — Are all facilities, adequate for both the artistic mission and staffing needs? Is the organization fully accessible? Are future needs clearly outlined?

Source: *National Arts Stabilization, 1998.*

## **HOW TO USE THIS GUIDE**

This guide is designed to help the assessment team systematically review indicators of organization health, and to identify areas where the organization might improve its performance.

Each section addresses a specific area of organizational concern and requests information about key dates, documents, plans, and outcomes. A “comments” section follows each item, which can be used to note critical issues. The items in each section are provided as a basis for discussion. The assessment team may add additional items that will be helpful in raising issues of particular concern to the organization.

Each section ends with the item: “Critical issues to be addressed in plan.” Use this space to record important concerns arising from the discussion of each section’s topic. The critical issues identified in each section will be helpful in identifying areas needing attention and in formulating the organization’s capacity building plan.

The assessment team may decide to complete the whole assessment in one long session or may decide to hold several shorter meetings. At the end of the discussion(s), the team should have a list of critical issues that they agree the organization must address. For example:

- There is no clear mission statement. There are varying interpretations of the organization’s purpose.
- The “current” long-range plan is over five years old and most board and staff members are unfamiliar with its contents.
- Organization has had an operating deficit for the last three years. The reserve fund is depleted. There is no deficit reduction plan.
- It is difficult to obtain a quorum for board meetings. Board committees do not exist or are only partially operational.
- Building which contains current rented facilities has been sold and organization must find new space within next 12 months.
- Funding base is heavily reliant on one source that has indicated that its funding priorities will be changing in the next year.
- The organization has had three executive directors in the last two years.

## **THE CAPACITY BUILDING PLAN**

### ***Share findings***

Before developing the plan, the team might host a planning retreat to share the critical issues with the whole board, staff, and other key stakeholders who did not participate in the assessment in order to gain their impressions and support. The larger group (or its subgroups) would discuss and prioritize the issues, sequence the order in which issues should be addressed, and suggest strategies to resolve each.

### ***Check internal consistency***

After all issues are addressed, the team might meet again to review the soundness of the overall strategy. They would consider questions such as “Are service plans consistent with financial plans?” or “Is staffing adequate to accomplish the service plans?”

### ***Develop format and draft plan***

Next, agree on the format of the plan and develop the first draft. Be sure to include a section outlining how you will implement the plan. Identify the major tasks or objectives that must be accomplished, who is responsible for each task and timelines.

### ***Include benchmarks***

The resulting capacity building plan should contain the organization’s goals and strategies with clearly outlined benchmarks for changes in governance and managerial practices. Very likely the plan will contain a number of strategies that involve additional planning in specific areas, such as developing a deficit reduction plan or long-term resource development plan.

### ***Review plan with stakeholders and make needed revisions***

Share the draft plan with board, staff, and other key stakeholders whose input and support is valuable to successful implementation. Ask for general reactions, areas of support, areas of disagreement, specific suggestions, and areas for improvement. Make revisions based on the input.

### ***Gain governing board approval and adopt the plan***

Review the final draft with these questions in mind: Is the plan sound and doable? Will people understand and carry out the plan?

### ***Implement the plan, monitor performance, take corrective action, and update the plan***

Implementation begins a new phase of planning — not the conclusion of planning. Make sure that the plan’s directions and strategies are incorporated into the coming year’s objectives and budget. Then follow through and review progress at regular intervals. As conditions change, revise the plan. It is a living document.



## **SECTION 1**

### ***General Information (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 1-1 Date of incorporation?
- 1-2 Date agency by-laws last updated? \*
- 1-3 Date of last agency annual meeting?
- 1-4 Date of last agency annual report? \*
- 1-5 Date of last IRS 990 filing (if applicable)? \*
- 1-6 Date of last audit or independent financial review? \*
- 1-7 Date of last audit-related management letter? \*
- 1-8 Date agency policy and procedures manual last updated? \*
- 1-9 Date agency organizational chart listing governing board, personnel, relationships, and lines of authority last updated? \*
- 1-10 Date written management agreement with "friends of" organizations last updated? \*



## SECTION 1

## General Information Findings

### Critical Issues for the Plan:

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## ***SECTION 2***

### ***Mission, Markets, and Environment (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's its programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 2-1 Mission Statement?
- 2-2 Date agency mission statement last reviewed and affirmed by board?
- 2-3 Who is your primary audience?
- 2-4 Who are your donors?
- 2-5 Who are your allies?
- 2-6 Who are your competitors?
- 2-7 What current/future environmental opportunities exist?
- 2-8 What current/future environmental threats exist?
- 2-9 What current/future social, economic, and political forces/trends impact current/future operations?

## SECTION 2

## Mission, Markets and Environment Findings

### Critical Issues for the Plan:

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## **SECTION 3**

### ***Executive Staff (\* attach copy)***

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***(NOTE: If there are co-executive directors, complete this section for each executive position.)***

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## **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 3-1 Name of paid executive director?
- 3-2 Full time or part time? Number of hours per week?
- 3-3 Date job description last revised? \*
- 3-4 Date hired?
- 3-5 Date of last performance evaluation?
- 3-6 Executive staff development activities attended during last 12 months?
- 3-7 Is compensation competitive within the field? within the community?
- 3-8 Number of persons in this position in last 10 years?
- 3-9 In executive's opinion, are the lines of authority and responsibility between board and management clearly stated and observed?
- 3-10 If there are co-directors are the lines of authority and communications between each other and the board clearly stated and observed?
- 3-11 Have the executive staff members of the organization received training about allowable advocacy/public awareness activities for 501(c)(3) organizations?
- 3-12 How are executive staff members engaged in advocacy/public awareness activities?

### SECTION 3

## Executive Staff Findings

### Critical Issues for the Plan:

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## **SECTION 4**

### ***Other Employees (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 4-1 Number of additional paid staff positions and titles?
- 4-2 Number of full time employees?
- 4-3 Number of part time employees?
- 4-4 When was each job description last revised? \*
- 4-5 When was last performance review for each current employee?
- 4-6 Is salary competitive within the field? Within the community?
- 4-7 What staff development activities were held during last 12 months? Include topics and attendance.
- 4-8 What were the annual staff turnover rates for last five years?
- 4-9 Have the employees of the organization received training about allowable advocacy/public awareness activities for 501(c)(3) organizations?
- 4-10 How are staff members engaged in advocacy/public awareness activities?

## SECTION 4

### *Other Employees Findings*

### Critical Issues for the Plan:

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## **SECTION 5**

### ***Governing Board (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 5-1 Does the governing board function in accordance with the organization's Articles of Incorporation, By-laws, and Policy Manual?
- 5-2 Number of board members called for in by-laws? Number of current board members?
- 5-3 Date board members job descriptions last updated? \*
- 5-4 Names, terms of current board members; identify officers? \* (roster)
- 5-5 Date board officer job descriptions last updated? \*
- 5-6 Date of last new board member orientation session?
- 5-7 Date board member handbook last updated? \* (table of contents)
- 5-8 Annual board member turnover rates (other than annual rotation) for last five years?
- 5-9 Percent of attendance at board meetings held during last 12 months?
- 5-10 Board development activities held during last 12 months, including topics and attendance? \*
- 5-11 How does the governing board determine organizational involvement in public issues? Does the board review and approve activities undertaken in the organization's name?
- 5-12 Has the board of the organization received training about allowable advocacy/public awareness activities for 501(c)(3) organizations?
- 5-13 How are board members engaged in advocacy/public awareness activities?



## SECTION 5

## Governing Board Findings

### Critical Issues for the Plan:

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## **SECTION 6**

### ***Governing Board Committees (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 6-1 Does the governing board keep a structure designed to achieve the agency's goals and objectives?
- 6-2 What are the standing board committees called for in by-laws?
- 6-3 What are the current ACTIVE standing board committees and number of members of each? \*
- 6-4 Does each committee have a written charge outlining its purpose and responsibilities? \*
- 6-5 When was each board committee charge last updated?
- 6-6 Date(s) of last new board committee member orientation session(s)?
- 6-7 Dates and percent attendance at each committee meeting held during last 12 months?
- 6-8 Are there clear lines of reporting between committees and board?
- 6-9 Does the organization's board have a standing advocacy/public awareness committee to guide public awareness activities? \*

## SECTION 6

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*Governing Board Committees Findings*

### Critical Issues for the Plan:

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## **SECTION 7**

### ***Long Range Planning (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 7-1 Date the current long range plan was adopted by board? \*
- 7-2 How many years does the current plan cover?
- 7-3 How was the long range plan developed? Who was involved?
- 7-4 Does the plan contain goals and objectives with specific action steps?
- 7-5 For each action step, is there a projected timeframe for completion and an assigned person or group responsible for implementation?
- 7-6 How often is the plan to be reviewed and by whom?
- 7-7 When was the current long range plan implementation progress last reviewed by the board?
- 7-8 What percent of LRP goals and objectives have been completed? Is the plan following the implementation timetable?
- 7-9 Has the environment in which the plan was developed changed since the plan was adopted? If so, how has it changed? How does the change impact plan implementation?
- 7-10 Do resource allocation practices and annual objectives relate to the objectives of the long range plan?

## SECTION 7

## Long Range Planning Findings

### Critical Issues for the Plan:

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## **SECTION 8**

### ***Programs and Services (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 8-1 Does the organization assure that the goals and objectives of new programs and services are consistent with the organization's mission?
- 8-2 Does the organization conduct its own needs assessment and/or utilize studies and assessments by outside sources to document the need for new programs and services? \*
- 8-3 When planning new programs and services does the organization consider gaps and duplication of services in the community?
- 8-4 Does the agency have measurable goals and objectives for each new program and service? \*
- 8-5 Does the governing board approve grant proposals and funding applications for new programs and services?
- 8-6 When was the current programs and services plan adopted by the board? \*
- 8-7 Does each program and service contain goals and objectives with specific action steps? For each action step, is there a projected timeframe for completion and an assigned person or group responsible for implementation?
- 8-8 How often is the plan to be reviewed and by whom? When was the current program plan implementation progress last reviewed by the board?

## SECTION 8

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*Programs and Services Findings*

### Critical Issues for the Plan:

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## ***SECTION 8 (continued)***

### ***Programs and Services (\* attach copy)***

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- 8-9 What percent of the plan's goals and objectives have been completed? Is the plan following implementation timetable?
- 8-10 Has the environment in which the program plan was developed changed since the plan was adopted? If so, how has it changed? How does the change impact plan implementation?
- 8-11 Do resource allocation practices and annual objectives relate to the objectives of the program plan?
- 8-12 Does the organization evaluate the results of each program and service? \*
- 8-13 Does the organization collect information about the characteristics of users?
- 8-14 Is customer feedback collected and analyzed at least annually?
- 8-15 Does the organization have written procedures for handling customer grievances and/or appeals? \*
- 8-16 Does the board annually review the fee schedule and earned income analysis?
- 8-17 Are program sites located in areas that are easily accessible to the target population?
- 8-18 How does the agency inform potential customers about its programs and services?
- 8-19 Are the dates and times of program operation appropriate to the needs of the target population?
- 8-20 Are there sufficient staff and volunteers to carry out programs and services?
- 8-21 Does the organization coordinate services with other providers through joint programming, co-location of services, shared staff, or other methods?



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*Programs and Services Findings*

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## **SECTION 9**

### ***Public Relations (\* attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 9-1 Has the organization developed a public relations program that is consistent with the agency's mission statement, goals, and objectives? \*
- 9-2 Are the organization's public relations efforts coordinated with its programming and fund-raising efforts?
- 9-3 Does the organization appropriately identify program affiliation with applicable entities such the Indiana Arts Commission and the National Endowment for the Arts? \*
- 9-4 Does the organization prepare an Annual Report, freely distributed to the public, that provides the following information: agency mission, a summary of program and service statistics, a financial statement for the year, and current board/staff list? \*
- 9-5 Do newsletters, printed materials, videotapes, and electronic communications (i.e., web site) used for marketing and publicity purposes accurately reflect current operations and programming?
- 9-6 Does the organization attempt to determine the public's familiarity with its name and its distinct programs? \*
- 9-7 Does the organization have a designated spokes person(s) for responding to the media during times of emergency or controversy?
- 9-8 Has the organization developed working relationships with print and electronic media representatives?

## SECTION 9

## Public Relations Findings

### Critical Issues for the Plan:

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## ***SECTION 9 (continued)***

### ***Public Relations (\* attach copy)***

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- 9-9 Are facilities, including vehicles, well marked with the organization's name and/or logo, as appropriate?
- 9-10 Does the organization make efforts to build positive relationships within its community?
- 9-11 Does the organization maintain ties with relevant civic organizations, neighborhood groups, and professional associations?
- 9-12 Is the organization knowledgeable about services offered by similar providers?
- 9-13 Does the organization participate in or initiate partnerships or coalitions related to the agency's field of service?
- 9-14 Does the organization maintain timely communication with its various funding sources?
- 9-15 Does the organization maintain ongoing communication with state- or nation-wide organizations to which it is affiliated?

If the agency is a membership organization, please also complete the following items:

- 9-16 Does the organization have and follow written membership guidelines, which include the responsibilities and benefits of members? \*
- 9-17 Are the effectiveness of membership efforts evaluated on a regular basis?
- 9-18 Are membership guidelines updated on a regular basis?
- 9-19 Are potential and new members provided copies of the membership guidelines?
- 9-20 Has the organization assessed the affordability of membership fees?
- 9-21 Has the organization assessed the cost effectiveness of member incentives it provides?
- 9-22 Does the organization hold an annual meeting of the membership?
- 9-23 Does the organization have regular communication with members through a member newsletter or other device? \*
- 9-24 Does the organization conduct an annual membership drive? \*
- 9-25 Is there an active board committee which plans and implements all membership efforts? \*
- 9-26 Does the organization have a plan for membership retention? \*
- 9-27 Does the organization have an advocacy/public awareness plan adopted by the board? \*

**SECTION 9 (continued)**

## *Public Relations Findings*

### Critical Issues for the Plan:

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## ***SECTION 9 (continued)***

### ***Public Relations (\* attach copy)***

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9-28 Does the organization engage in any of the following advocacy/public awareness activities?

- ☐ Public education regarding public policy initiatives affecting the arts
- ☐ Inform/educate local public elected officials
- ☐ Inform/educate state elected officials
- ☐ Inform/educate federal elected officials
- ☐ Write and place arts awareness materials with local media
- ☐ Membership in Indiana Advocates for the Arts or other arts advocacy organization

9-29 How are outcomes of advocacy and awareness activities tracked and evaluated? \*

**SECTION 9 (continued)**

## Public Relations Findings

### Critical Issues for the Plan:

[illegible]

## **SECTION 10**

### ***Human Resources (\*attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 10-1 When were the current personnel policies adopted by board? \*
- 10-2 How were personnel policies developed? Who was involved?
- 10-3 When were personnel policies last updated by board?
- 10-4 Has the organization established salary ranges and benefits (if applicable) for each job category? \*
- 10-5 When was the salary administration plan (salary ranges and benefits) adopted by board?
- 10-6 How was the salary administration plan developed? Who was involved?
- 10-7 When was the salary administration plan last updated by board?
- 10-8 Are salary ranges and the quality and cost of employee benefit programs competitive with the market?
- 10-9 Does the organization have a job classification system?
- 10-10 Do specific job descriptions exist for each position which outline the qualifications and responsibilities that pertain to each position?
- 10-11 Are job descriptions and job content reviewed whenever positions become vacant or significant changes occur in the responsibilities of positions due to new or revised program and service delivery activities?



## SECTION 10

## Human Resources Findings

### Critical Issues for the Plan:

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## ***SECTION 10 (continued)***

### ***Human Resources (\*attach copy)***

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- 10-12 Is each staff member, including the chief professional officer, formally evaluated at least annually?
- 10-13 Does the organization monitor the extent and causes of staff turnover and its effects on programs?
- 10-14 Are there department or total agency staff meetings held on a regular basis?
- 10-15 Does every staff member report to a supervisor?
- 10-16 Are all staff members provided with the criteria or standards by which their performance will be evaluated in advance of their performance evaluations?
- 10-17 Has the organization appraised the need for staff development and includes staff development expenses in its annual budget?
- 10-18 Are work assignments structured in a manner that will assist staff members in meeting their personal career goals?
- 10-19 Have the organization's programs been assessed to determine areas where volunteer skills and competencies might be used?
- 10-20 Do job descriptions exist for program volunteer positions?
- 10-21 Are program volunteers trained prior to their assignments and receive ongoing supervision?
- 10-22 Does the organization have a system to recognize volunteers?
- 10-23 Does the organization publicize volunteer opportunities as part of an active recruitment effort?
- 10-24 Has the organization identified barriers to the effective recruitment and involvement of volunteers?
- 10-25 Does the organization utilize feedback from its volunteers?
- 10-26 Does the organization have a process for effective recruitment, orientation, training, and involvement of non-traditional volunteers?
- 10-27 Do staff receive training in how to effectively work with volunteers?
- 10-28 Is volunteer performance evaluated on a regular basis?

**SECTION 10 (continued)**

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### *Human Resources Findings*

### Critical Issues for the Plan:

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## ***SECTION 11***

### ***Agency Budget (\*attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 11-1 When was the current agency budget adopted by board? \*
- 11-2 How was annual budget developed? Who was involved?
- 11-3 Does the budget reflect the organization's artistic goals and objectives?
- 11-4 How is budget monitored? \*
- 11-5 How is budget revised? \*

## SECTION 11

## Agency Budget Findings

### Critical Issues for the Plan:

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## **SECTION 12**

### ***Financial Management (\*attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 12-1 Does the organization maintain a system of checks and balances in daily financial administration?
- 12-2 Does the organization utilize cost accounting methods?
- 12-3 Are supporting service's expenses at or less than 25% of total expenses?
- 12-4 Do the board and management review financial reports on a scheduled basis?
- 12-5 How often does the board review information on program costs and results?
- 12-6 Does the organization secure an annual independent financial audit?
- 12-7 Does the agency request and receive a "management letter" with its annual financial audit?
- 12-8 Within the last 5 years, has the audit identified any serious financial management issues? What action did the board take?
- 12-9 Does the organization have cash flow problems? Frequency? Duration?
- 12-10 If so, does the organization have a plan to address the cash flow problems? \*
- 12-11 Does agency have operating deficit? Frequency? Duration?
- 12-12 If so, does the organization have a plan in place to address the deficit? \*
- 12-13 Does organization have a policy on reserves? \*
- 12-14 Does organization have an investment policy? \*

## SECTION 12

## *Financial Management Findings*

### Critical Issues for the Plan:

[illegible]

## **SECTION 13**

### ***Fund Raising (\*attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 13-1 Has the organization completed a constituency analysis which identifies the markets (individuals, corporations, foundations, assns.) that have the greatest funding potential? \*
- 13-2 Has the organization reviewed the market analysis to identify specific prospects, their linkages, interest in, giving ability in relationship to your organization?
- 13-3 Are all board members and staff aware of and involved in prospect identification and cultivation?
- 13-4 Does the organization regularly analyze its mix of public and private funding, and project future gains and losses in various sources of revenue?
- 13-5 Are the organization's fund-raising efforts included in the agency's overall financial plan? \*
- 13-6 Are both the board and staff involved in the development of the financial plan?
- 13-7 Have both the board and staff made a joint commitment to participate in the financial plan's implementation and evaluation?
- 13-8 Does the financial plan reflect income and expense requirements for each year for: Annual operating needs? Program needs? Special purpose/capital needs? Endowment/cash reserve? \*



## SECTION 13

## Fund Raising Findings

### Critical Issues for the Plan:

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## ***SECTION 13 (continued)***

### ***Fund Raising (\*attach copy)***

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- 13-9 Does the financial plan identify dollars that must be raised each year for: Annual operating needs? Program needs? Special purpose/capital needs? Endowment/cash reserve? \*
- 13-10 Does the organization have a written “policy on reserves” explaining how funds are designated to cover unexpected expenses and what the agency plans to do with unexpected revenues at the end of their fiscal year? \*
- 13-11 Is there an active development committee or other committee of the board responsible for leading fund raising efforts? \*
- 13-12 Do board members contribute according to their abilities and also ask others to do so?
- 13-13 What percent of board members make an annual gift?
- 13-14 What was the average board member gift last year?
- 13-15 What percent of board members directly solicit prospective donors?
- 13-16 What percent of board members provide the agency with the names of prospective donors?
- 13-17 Is there a staff person who has primary responsibility for fund raising? What percent of his/her time is spent in this area? \*(attach job description)
- 13-18 Is there an active annual giving program based on a specific goal? \*
- 13-19 Is there is an active planned giving program in place? \*
- 13-20 Is the organization’s fee schedule examined annually with regard to its potential for generating revenue? \*
- 13-21 Does the organization have a contingency plan for responding to unexpected reductions in resources? \*

## Fund Raising Findings

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## **SECTION 14**

### ***Facilities (\*attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 14-1 Do the organization's facilities provide adequate office, program, and storage space to meet the needs of customers and staff?
- 14-2 Does the organization have security and safety procedures designed to provide appropriate types of protection for staff, users of agency services, guests, and agency property? \*
- 14-3 Does the organization have special equipment needed for programs and support services (i.e., computers, copiers, TTD machines)?
- 14-4 Are the organization's facilities, property (including vehicles), and equipment properly maintained, operational, and regularly inspected for safety? \*
- 14-5 Do facilities project a well-maintained appearance?
- 14-6 Is the organization currently implementing a preventive maintenance plan? \*
- 14-7 Is the organization's insurance coverage of its facilities, grounds, and equipment adequate? \*
- 14-8 Are adequate maintenance and janitorial services provided for the agency's facilities, property, and equipment?
- Does the organization keep an inventory of agency equipment and furnishings? Is it reviewed at least biennially? \*
- 14-10 Does the organization have a long-range plan for facility maintenance and replacement of facilities, property, and equipment, approved by the agency's governing board? \*

## Facilities Findings

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## ***SECTION 15***

### ***Accessibility (\*attach copy)***

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#### **CONSIDER**

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

- 15-1 Are facilities accessible in compliance with the Americans with Disabilities Act?
- 15-2 If not, what accommodations must be/are available?
- 15-3 When was the last agency accessibility assessment of programs and services completed? \*
- 15-4 Who was involved in the assessment?
- 15-5 When was the current program accessibility plan adopted by board? \*
- 15-6 When was the last agency accessibility assessment of facilities completed? \*
- 15-7 Who was involved in the assessment?
- 15-8 When was the current facility accessibility plan adopted by board? \*

### Accessibility Findings

[illegible]

## SECTION 16

### *Risk Management (\*attach copy)*

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#### CONSIDER

- What do the responses to these items tell you about the values of your organization?
  - What do the responses to these items tell you about the practices of your organization?
  - What do the responses to these items tell you about the continuing need for and value of your organization's programs and services to the community?
  - What do the responses to these items tell you about how your organization can improve operations, programs, and services?
- 

16-1 Does the organization develop and periodically assess its policies, procedures, and practices to identify and manage situations and conditions that might place undue risk on the organization?

16-2 Have the following types of insurance been considered and obtained, if needed?

Automobile Liability  
General Liability  
Property  
Fidelity Bond  
Malpractice/Professional Liability  
"Key Man" insurance  
Directors and Officers Liability  
Workers' Compensation  
Unemployment Compensation  
Other: (specify)

16-3 When was the last agency risk management assessment completed?\*

16-4 When was the current agency risk management plan adopted by the board?

16-5 Is the agency a party to any current litigation? Explain.



## ***SECTION 16***

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### ***Risk Management Findings***

### Critical Issues for the Plan:

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